

## PART 2033 - RECORDS

### Subpart A - Records Management in Rural Development Field Offices

#### 2033.1 - Purpose

This instruction supplements RD Instruction 2033-A to assist in maintaining office records and provides uniformity throughout the state.

#### 2033.6(c) – File Maintenance

To maintain uniformity throughout field offices in the State, the operational files listed in Exhibit A of this instruction will be established. This is not an “all inclusive” list. Offices may establish additional codes based on need. Disposition authorities listed in RD Instruction 2033.13 and the Operational Records Manual, Section 4, are to be followed. Exhibit B shows the file codes, file station locations, and person(s) responsible for a particular group of records in the State Office. Additional sub-files may be added as needed.

#### 2033.6(b)(1)(iii) - Filing cabinets - Locking Type.

To provide internal control of safe combinations, all Rural Development State, Area and Local Offices should provide combination access to only those employees who must have access to material stored in the fire resistant file. There should be no evidence of the combination maintained in either Area or Local Offices.

Upon termination or transfer of persons with access to the safe’s combination, the combination must be changed. Another envelope (marked with the office code and contents) with the new combination is to be submitted to the State Office, Attention: Management & Program Analyst. The Area or Local Office name should also be written on the envelope.

#### 2033.6(c)(3)(i) - Folder Maintenance Requirements - Operational Files

Exhibit C of this instruction contains the “Field Office Contract File Organizer” for Contracting Officer Representative (COR) files. This exhibit describes the position filing method required for documents in the COR files. The appropriate page of the checklist should be filed at the top of each position in contract files.

The non-contractual files shall be organized with the AD 838 (Purchase Order) on the left side of the folder. The right side will contain Form RD 838-B (Invoice-Receipt Certification) followed by the invoice (or receipt marked "paid" for reimbursement of out-of-pocket expenses) and a record of order placement (letter or record of phone call in circumstances where RD must initiate the action. Each separate RD 838-B and record of order shall be stapled together, with the most recent order on top.

To reimburse an employee for out-of-pocket expenses, the AD-838 and RD 838-B are to be signed by the employee's supervisor.

Contracting Officer Representative files should be submitted to the Contracting Officer two fiscal years after the fiscal year in which the final payment has been initiated.

2033.8 - Maintenance of active borrower case folders.

RD Instruction 2033-A, Exhibit B, will be supplemented by Guides 1, 3, and 4 of ND Instruction 1942-A for Community Facility Loans. RD Instruction 2033-A, Exhibit B, will be supplemented by Guides 1, 3, and 4 of ND Instruction 1780-A for Water and Waste and Guides 2 and 3 of ND Instruction 1942-G for RBEG.

In cases of bankruptcy, see ND Instruction 2015-E for further direction on maintenance of information that would not be releasable under the Privacy Act.

2033.8(b)(6)(iii) - Loss to the Government.

Annual reports on guaranteed loss monies collected must be completed for 5 years after the loss is paid. Therefore, retain guarantee loss to government files for 7 fiscal years.

2033.8(b)(8) - Property Acquisition.

For property that is acquired, the following items should be set up in an inventory property file:

1. Form 1955-1, Offer to Convey, and Warranty Deed in Voluntary conveyances.
2. Notice of Sale, Judgment, Sheriff or U.S. Marshall deeds, legal notices, redemption's, etc. on foreclosures.
3. Final Title Opinion giving Rural Development title to the property.
4. Form 1955-3, Advice of Property Acquired.
5. Form 1955-3A, Acquired Property - Maintenance.
6. Form 1944-55, Multi-Family Transfer of Rental Assistance

7. Form 1965-19, Multi-Family Housing Advice of Mortgaged Real Estate Acquired.
8. Appraisal prepared to obtain the property.
9. Worksheet for accepting inventory property.
10. All recoverable cost vouchers.
11. Any lease information.
12. Any information on chattels taken into inventory or a Bill of Sale on acquired chattels.
13. In abandonment cases, any documentation giving the Area Director, Assistant Area Director or Rural Development Manager authority on what to do.
14. Form 1940-22, Environmental Checklist for Categorical Exclusions, on leased property.
15. Easements pertaining to the property.

Any actions taken after acquisition which pertain to that inventory property (real estate owned property) will be filed in the inventory property file.

When a credit sale is closed, the appraisal should be transferred to the new borrower folder and the inventory property file should be marked closed and disposed of in accordance with RD Instruction 2033.10(b).

Attachments: Exhibits A, B, and C.

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<b>PRIMARY FILE CODE</b>	<b>SUBTITLE FILE CODE</b>	<b>DESCRIPTIONS</b>	<b>DISPOSITION</b>	<b>FILING REQUIREMENTS</b>
1700		Rural Utilities Service (General)	3 FY'S	
	1703-B	Rural Economic Development Loan and Grant Program	3 FY'S	
	1703-D	Distance Learning & Telemedicine Program	2 FY'S	
1775		Technical Assistance and Training Grants	3 FY'S	
1777		Section 306C Water and Waste Division Loans and Grants	2 FY'S	
1778		Emergency Community Water Assistance Grants	2 FY'S	
1779		Water & Waste Disposal Guaranteed Loans	2 FY'S	
1780		Water and Waste Loan and Grant Program	2 FY'S	
1781		Resource Conservation and Development (RCD) Loans and Watershed (WS) Loans and Advances	3 FY'S	
1794		Environmental Policies and Procedures	Disposition Not Authorized	
	1806-A	Real Property Insurance	2 FY'S	Regulation still shows 426.1. Also formerly listed as 1926-A.

	1806-B	National Flood Insurance	50 FY'S	Retain all material pertaining to designated areas eligible for National Flood Insurance. Regulation still shows 426.2. Also formerly listed as 1926-B.
	1806-B-1	Flood Hazard Maps	Upon receipt of new map or when no longer needed	Regulation still shows 426.2. Also formerly listed as 1926-B.
1900		Program Operations (General)	3 FY'S	To include general information on appeals.
	1900-1	Outreach	Disposition Not Authorized	
	1900-B	Adverse Decisions and Administrative Appeals	2 FY'S	
	1900-D	Processing and Servicing RD Assistance to Employees, Relatives & Associates	3 FY'S	
1902		Supervised Bank Accounts (General)	1 FY	
1904		Borrower Case Classification (General)	2 FY'S	
1905		Management Systems (General)	2 FY'S	
	1905-A	Field Office Management Systems	retain until next State Internal Review	Includes application and processing cards or similar format for guaranteed loans and multi-family housing.
1910		General (Credit Reports)	2 FY'S	
	1910-B	Credit Reports (Individual)	2 FY'S	Provides guidance in obtaining and utilizing credit reports.

1922		Appraisals (General)	2 FY'S	To include the list of appraisers supplied to hearing officers and the qualification documentation as per Instruction 1951.909.
	1922-01	Administrative Appraisal Reviews-SFH	2FY'S	Provides guidance on utilizing and reviewing loan making and servicing appraisals.
1924		Construction and Repair (General)	2 FY'S	Provides guidance on planning and performing construction and other development.
	1924-C-1,-2,-3 etc.	Name of, Subdivision	2 FY's after last lot is sold	Use a separate folder for each approved subdivision.
	1924-F	Complaints and Compensation for Construction Defects		To include list of debarred contractors and grantees. Retain only the current list.
	1924-F-1, 2, 3, etc.	Complaints and Compensation for Construction Defects (Name of Builder)	3 FY'S after end of FY of final disposition of complaint	To contain a history of actions taken on compliments from date of receipt to date of final disposition.
1925		Taxes (General)	1 FY	
1927		Title Clearance and Loan Closing (General)	Retain current designations, destroy 1 FY after termination, 3 FY'S for remaining material	

1940		Loan and Grant Making (General)	3 FY'S	To include information about insured funding allocations and requests.
	1940-01	Evidence of Indebtedness		<u>To be maintained in locked fireproof safe. Original promissory notes, renewal promissory notes, assumption agreements, stock certificates, accelerated repayment agreements, and grant agreements will be maintained in a set of A-Z folders in a locked fireproof safe. Evidence of Indebtedness and Stock Certificates for each borrower will be kept together.</u>
	1940-02	Charged-Off Notes	6 FY'S after charged off	<u>To be maintained in locked fireproof safe. To contain original promissory notes charged off without release of liability. Mark the disposition on each note as it is filed.</u>
	1940-03	Evidence of Indebtedness for Address for Unknown Borrowers	10 FY'S after paid in full otherwise satisfied	<u>To be maintained in locked fireproof safe. To contain paid in full or otherwise satisfied evidences of indebtedness which cannot be delivered to borrowers due to address unknown.</u>
	1940-C	Davis-Bacon Act	3 FY'S	To include Semi-Annual Labor Compliance Report and Davis-

				Bacon Wage Rates.
	1940-D (1901-E)	Civil Rights Compliance Requirements	4 FY'S	(regulation still shows 1901-E) To include annual report.
	1940-G	Environmental Program	3 FY'S	Lead Based Paint, FEMA Disaster Declarations
	1940-M	Government-Wide Debarment and Suspension (Non procurement) and Requirements for Drug-Free Work Place	Retain current listings, destroy when no longer needed	Retain current listings and supplements.
	1940-N (1901-N)	Indian Outreach Program	3 FY'S	(regulation still shows 1901-N)
	1940-P (1901-P)	Computer Terminal Security (contains annual security checklist)	2 FY'S	(regulation still shows 1901-P) To include latest RD Security Handbook, and annual security checklists.
1942		Association Loans (General)	2 FY'S	
	1942-A	Community Facility Loans	2 FY'S	
1944		Housing (General)	2 FY'S	To include RH Asset Sale information where applicable.
	1944-N	Housing Preservation Grants (General)	3 FY'S	
1948		Rural Development (General)	3 FY'S	
1950		Account Servicing (General)	2 FY'S	
1951		Servicing and Collections (General)	2 FY'S	
	1951-A	Account Servicing Policies	3 FY'S	To include Form 451-27, "Annual Review of Collection

				Only Accounts".
	1951-B	Collections	5 FY'S	To include materials from training meetings, general information on Wholesale Lockbox Process and Form RD 1951-44, "Management Control & Review of Field Office Collection Activities" for annual review.
	1951-B-1	Acknowledgement of Cash Payments	3 FY's after date of last receipt in book	<u>To be maintained in locked fireproof safe. Keep field office copy in receipt book. Keep original and copy of voided receipts in the book.</u>
	1951-B-2,-3,-4, etc	Collections, (Month), (Year)	5 FY'S	<u>To be maintained in locked fireproof safe whenever possible. Refer to RD Instruction 1951-B for position filing. Due to the limited activity, local offices may maintain an annual file labeled "Collections, (Year)".</u>
	1951-C	Offsets of Federal Payments to USDA Agency Borrowers	5 FY'S	Pos. 1 - Administrative Offset; Pos. 2 - Salary Offset; Pos. 3 - IRS Offset; Pos. 4 - General Correspondence.

	1951-E	Servicing of Community & Insured Business Program Loans and Grants	3 FY'S	
	1951-F	Analyzing Credit Needs and Graduation of Borrowers	3 FY'S	To include Finance Office graduation lists, Form RD 1951-24, "Results of Borrower Graduation Review", Lender Contracts, and Exhibits A and B of Instruction 1951-F or a similar format.
1955		Property Management (General)	2 FY'S	To include inventory property lists.
	1955-C-1,2,3,etc.	Form RD 1955-42, "Open Real Property Master Listing Agreement"	5 FY'S	Establish a file for each county in servicing area as needed.
1956		Debt Settlement (General)	2 FY'S	
1962		Personal Property (General)	2 FY'S	To include subordination tally cards.
1965		Security Servicing - Real Property (General)	2 FY'S	
1980		Guaranteed Loans (General)	2 FY'S	To include information regarding losses which do not pertain to a particular borrower.
	1980-D-1,-2,-3,etc.	Certified/Approved Lender (Name of Lender)		Prepare a separate file for each certified or approved lender which contains all lenders' agreements for loans currently being serviced.

1992		Reports (General)	2 FY'S	Establish a file for each type of report as needed.
	1992-E	Reporting to Internal Revenue Service	3 FY'S	To include a copy of Form RD 1992-6, "Acquisition or Abandonment of Secured Property", and any reporting of cash collections in excess of \$10,000 annually from any one borrower.
2000		Administration (General)	3 FY'S	
	2000-01	Emergency Planning	Retain current plan	To include a copy of the current field office Emergency Action Plan and current list of USDA County Emergency Board Members.
	2000-E	RD Policy on Meetings	2 FY'S	
	2000-G	Notaries Public Expense Act of 1955	Retain current designations	To include Form SF 1012 for payment of notary public expenses and information on current designations.
2003		Organization (General)	Retain current information	To include organizational charts.
2006		Management (General)	3 FY'S	

	2006-F	Delegation of Authority	5 FY'S after revoked or revised, or position is eliminated	To include a copy of all current delegations. Special delegations and redelegations. Destroy 5 FY's after date specified in delegation; delegate is separated or removed from position with which delegation is identified; delegation is invalidated by regulations or other procedural issuances, whichever is later.
	2006-G	Designation of Acting Officials	5 FY'S after termination, being revoked or separation	To include a copy of designations of Acting Officials.
	2006-I	Strategic Planning and Accountability	Disposition Not Authorized	To include 5 Year Strategic Plan, Annual Performance Plan and annual accomplishments.
	2006-M	Management Control System	Retain current review	To include Evaluation Reviews, Management Control Reviews, State Internal Reviews, Area Director Oversight reports, and correspondence on follow up and corrective actions.
	2006-U	Information Resources Management: Office Automation and End User Computing	3 FY'S	To include any type of automation related newsletters, System Administrator information, etc., if not filed in binders. May sub-divide as

				needed.
2009		Budgets (General)	2 FY'S	
2012		Audits and Investigations (General)	2 FY'S	
2015		Information (General)	1 FY	To include "questions and answers", staff minutes, meeting minutes, etc.
	2015-B	Public Information Functions of RD Employees	1 FY	To include bulletins, FYI's, news articles and releases.
	2015-E	Availability of Information Under the Privacy Act	5 FY'S	To include a copy of each accounting record of disclosures of information initiated by Rural Development under the Privacy Act as prescribed in RD Instruction 2015-E. File a copy of this accounting record with the record from which the disclosure was made.
2018		General (Administrative Services)	1 FY	To include RD Form 2018-1 "Vehicle Commitment & Authorization Form". GSA travel records will be maintained in Operational File 2036.

	2018-E	Security of Valuable Documents	5 FY'S	<u>To be maintained in locked fireproof safe. To include record of mailing or delivery of bonds and interest coupons and internal receipts. Files relating to alleged violations of orders, laws, or agency regulations for the safeguarding of information.</u>
	2018-F	Availability of Information	5 FY'S	To include copy of FOIA requests granted, "Annual Report of Denials", and Form RD 104-1, "Public Information Transmittal and/or Receipt". Excludes material pertaining to exempt records that have been denied, those records that have been furnished to the requester after appeal to the Administrator and records sought by compulsory process. Also include "Annual Report of Denials" and Form RD 104-1, "Public Information Transmittal and/or Receipt".
2021		Space (General)	2 FY'S	To include correspondence for space and maintenance matters, including allocation, utilization, and release of space.

	2021-A	Location (city or town) of office	1 FY after move or closure	To include current floor plan and leases for space.
2024		Property and Supply (General)	2 FY'S	To include Form RD 2024-6, "Notice of Transmittal and Receipt".
	2024-A	Acquisition, Sales, and Leasing Authority	6 FY'S & 3 Months after final payment	
	2024-A-1	Master List of Solicitations, Purchase Orders and NFC Reports		To include logs of solicitation numbers and purchase order numbers and NFC proof of purchase order payment reports.
	2024-A-2,3,4, etc.	Form RD 838-B "Invoice-Receipt Certification"	6 FY'S & 3 Months	FOR CONTRACTUAL FILES: (Contract #) - (Type of Contract) - (Name of Vendor) - (Dates of Contract). Maintain a separate 4 position folder for each contract. FOR NON-CONTRACTUAL FILES: (Vendor Name) - (Type of Contract) - (Fiscal Year). Maintain a separate folder for each vendor. Destroy files containing contracts under \$25,000 and Construction Contracts under \$2,000 3 fiscal years after final payment.

	2024-C	Request and Control of Forms, Supplies, and Miscellaneous Services by State, Area, and Local Offices	2 FY'S after termination or completion of transaction	To include log of supply costs and information on PO box rent.
	2024-H	Custody, Control, Utilization, and Disposal of Nonexpendable Personal Property	3 FY'S after equipment is removed from Agency control.	To include latest Personal Property Physical Inventory Report.
2027		Reproduction (General)	1 FY	
2030		Communications (General)	2 FY'S	To include telephone orders, mail survey reports, postal meter reports and agency directives.
2033		Records (General)	6 FY'S	To contain evidence of files and records permanently transferred to N/O, other Federal agencies, or SRRC authority. Correspondence, reports, authorizations, and other records that relate to the management of agency records.
	2033-A-1	Receipts for Valuable Documents	50 FY'S	<u>To be maintained in locked fireproof safe. To include receipted copies of Form 140-4 or other evidence of valuable documents returned to a borrower.</u>

2036		Travel (General)	2 FY'S	To include information and report on GSA vehicles, updates of travel and transfer policies.
	2036-A-1,2,3,etc.	Name of Traveler, Travel Vouchers	6 FY'S	These folders may be maintained as the employee's personal records but must be available for audit purposes upon request.
2039		Change of Official Station (General)	6 FY'S	
2042		Tort Claims (General)	3 FY'S	
2045		Personnel Management Programs, Services, and Activities (General)	3 FY'S	To include correspondence, reports, and other records relating to the general administration and operation of personnel functions. (Excluding records specifically described elsewhere.)
	2045-X	Equal Employment Opportunity (EEO)	3 FY'S	
2048		Position Classification (General)	2 FY'S	
2051		Hours and Pay (General)	3 FY'S	
	2051-G-1,2,3,etc.	Name of Employee, Time & Attendance Reports	6 FY'S	Use a separate folder for each employee.
2054		Employment (General)	2 FY'S	
	2054-1,2,3,etc.	Name of Regular Employee, Employment	1 FY after separation	Use separate folder for each employee. Destroy material directly from folder on 3-year disposal basis during continuous employment.

2057		Training (General)	2 FY'S	
2060		Performance Ratings (General)	4 FY'S	
2063		Employee Relations and Services (General)	3 FY'S	To include information on incentive awards, labor management, legal assistance programs, and career assistance.
2066		Leave (General)	3 FY'S	
2069		Safety and Injury Compensation (General)	3 FY	
2075		Voucher and Payroll Accounting (General)	2 FY'S	Includes correspondence, reports, and data relating to voucher preparations, administrative audits, and other accounting and disbursing operations.
3550		Rural Housing Service (General)	2 FY'S	
	3550-01	Introduction to the Field Office Handbook	2 FY'S	Provides information on how the Handbook is organized and how to utilize it. It also contains the information on civil rights and appeal procedures.
	3550-02	Overview of Section 502	2FY'S	Provides an overview of the key aspects of the 502 program, DLOS processing system and steps involved in processing.

	3550-03	Application Processing	2 FY'S	Describes the process of accepting and managing applications up to the point the applicant is selected for processing. To include "Fiscal Year End" Unifi reports which must be pulled on September 30 or the last business day of each fiscal year.
	3550-04	Borrower Eligibility	2 FY'S	Provides guidance in evaluating a borrower's income, assets, credit history and other eligibility requirements.
	3550-05	Property Requirements	2 FY'S	Provides guidance to ensure that the quality and value of the property meet minimum thresholds requirements which will protect the agencies and borrowers interests.
	3550-06	Underwriting the Loan	2 FY'S	The underwriting process is brought together with the applicant eligibility and property requirements and the loan and subsidy requirements found in this chapter.

	3550-07	Escrow, Taxes, and Insurance	2 FY'S	Cost associated with being a homeowner, which include real estate taxes, hazard and flood insurance, and special assessments are discussed and how they are a part of the entire loan making process.
	3550-08	Loan Approval and Closing	2 FY'S	Provides guidance in approving and closing a loan after the underwriting process and analysis has determined an applicant eligible.
	3550-09	Special Situations	2 FY'S	Provides the requirements for processing Conditional Commitments, condominium ownership, community land trusts, planned unit developments and manufactured homes.
	3550-10	Leveraged Loans	2 FY'S	Provides processing information when other funding sources are provided at the same time the Agency loan is closed.
	3550-11	Non Program Loans	2 FY'S	Provides guidance when an extension of credit is provided to a borrower who does not qualify for program credit.

	3550-12	Section 504 Loans and Grants	2 FY'S	Provides guidance when providing loans and or grants to very-low income applicants to repair their existing homes.
	3550-13	Servicing and Liquidation Functions	2 FY'S	Provides guidance about the role the field staff has in servicing loans that are under the jurisdiction of CSC and the liquidation process after the loan has been accelerated.
	3550-14	Refinancing with Private Credit	2 FY'S	Provides guidance to assist borrowers to refinance their agency loan with other credit.
	3550-15	Managing Custodial & Real Estate Owned Property	2 FY'S	Provides guidance to manage property the agency has acquired title to either as a result of foreclosure or conveyance by deed in lieu of foreclosure.
	3550-16	Disposing of Real Estate Owned Property	2 FY'S	Provides guidance to sell REO property quickly and at the best possible price.
3560		Direct Multi-Family Housing Loans and Grants (General)	2 FY'S	
3565		Guaranteed Rural Rental Housing (General)		
	3565-1,2,3, etc.	RRH Approved Lender (Name of Lender)	Retain as long as agreement is in effect.	

3570		Community Programs (General)	2 FY'S	
	3570-B	Community Facilities Grant Program	Disposition Not Authorized	
3575		General (Community Programs Guaranteed Loans)	Disposition Not Authorized	
	3575-A	Community Programs Guaranteed Loans	2 FY'S	
4200		Rural Business Service (General)	3 FY'S	
4274		Direct and Insured Loan Making (General)	2 FY'S	Included Intermediary Relending Program (IRP)
4279		Guaranteed Loan Making (General)	2 FY'S	
	4279-B	Business and Industry Loans	2 FY'S	
4284		Grants (General)	Disposition Not Authorized	Includes Rural Cooperative Development Grants, Rural Business Opportunity Grants (RBOG), Value-Added Product Grants, and Agriculture Innovation Demonstration Centers.
4287		Servicing (General)	Disposition Not Authorized	Includes Business and Industry (B&I) Guaranteed Loans

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**STATE OFFICE FILE STATIONS**

<b>PRIMARY FILE CODE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION (SECTION)</b>	<b>RESPONSIBLE PERSON(S)</b>
1700		Rural Utilities Service (General)	RBS/RUS	Program Staff
	1703-B	Rural Economic Development Loan and Grant Program	RBS/RUS	Program Staff
	1703-D	Distance Learning & Telemedicine Program	RBS/RUS	Program Staff
1775		Technical Assistance and Training Grants	RBS/RUS	Program Staff
1777		Section 306C Water and Waste Division Loans and Grants	RBS/RUS	Program Staff
1778		Emergency Community Water Assistance Grants	RBS/RUS	Program Staff
1779		Water & Waste Disposal Guaranteed Loans	RBS/RUS	Program Staff
1780		Water and Waste Loan and Grant Program	RBS/RUS	Program Staff
1781		Resource Conservation and Development (RCD) Loans and Watershed (WS) Loans and Advances	RBS/RUS	Program Staff
1794		Environmental Policies and Procedures for Electric, Telephone, and Water & Environmental Programs	RBS/RUS	Program Staff
	1806-A	Real Property Insurance	RBS/RUS	Program Staff
	1806-B	National Flood Insurance	RBS/RUS	Program Staff
	1806-B-1	Flood Hazard Maps	RBS/RUS	Program Staff

<b>PRIMARY FILE CODE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION (SECTION)</b>	<b>RESPONSIBLE PERSON(S)</b>
1900		Program Operations (General)	RBS/RUS, RHS, CD	Program Staff
	1900-1	Outreach	RBS/RUS, RHS, CD	Program Staff
	1900- B	Adverse Decisions and Administrative Appeals	RBS/RUS, RHS, ADMIN	Program Staff
	1900-D	Processing and Servicing RD Assistance to Employees, Relatives & Associates	ADMIN	MCO/MPA
1902		Supervised Bank Accounts (General)	RBS/RUS, RHS	Program Staff
1904		Borrower Case Classification (General)	RBS/RUS, RHS	Program Staff
1905		Management Systems (General)	RBS/RUS, RHS	Program Staff
1910		General (Note: This deals with credit reports)	RBS/RUS, RHS	Program Staff
1922		Appraisals (General)	RHS	Program Staff
	1922-01	Administrative Appraisal Reviews-SFH	RHS	CF Spec./Appraiser
1924		Construction and Repair (General)	RBS/RUS, RHS	Program Staff
	1924-C-1,-2,-3 etc.	Name of, Subdivision	RHS	Program Staff
	1924-F	Complaints and Compensation for Construction Defects	RHS	Program Staff
	1924-F-1, 2, 3, etc.	Complaints and Compensation for Construction Defects (Name of Builder)	RHS	Program Staff
1925		Taxes (General)	RHS	Program Staff
1927		Title Clearance and Loan Closing (General)	RHS	Program Staff

<b>PRIMARY FILE CODE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION (SECTION)</b>	<b>RESPONSIBLE PERSON(S)</b>
1930		Supervision (General)	RHS	Program Staff
	1930-C	Management and Supervision of Multiple Family Housing Borrowers and Grant Recipients	RHS	Program Staff
1940		Loan and Grant Making (General)	RBS/RUS, RHS	Program Staff
	1940-01	Evidence of Indebtedness	RBS/RUS, RHS	Program Staff
	1940-02	Charged-Off Notes	RBS/RUS, RHS	Program Staff
	1940-03	Evidence of Indebtedness for Address for Unknown Borrowers	RBS/RUS, RHS	Program Staff
	1940-C	Davis-Bacon Act	ADMIN	Program Staff
	1940-D (1901-E)	Civil Rights Compliance Requirements	ADMIN	CRM
	1940-G	Environmental Program	RBS/RUS	Program Staff
	1940-M	Government-Wide Debarment and Suspension (Non procurement) and Requirements for Drug-Free Work Place	RBS/RUS	Program Staff
	1940-N (1901-N)	Indian Outreach Program	RBS/RUS, RHS, CD	Program Staff
	1940-P (1901-P)	Computer Terminal Security (contains annual security checklist)	ADMIN	IRM
1942		Association Loans (General)	RBS/RUS	Program Staff
1944		Housing (General)	RHS	Program Staff

<b>PRIMARY FILE CODE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION (SECTION)</b>	<b>RESPONSIBLE PERSON(S)</b>
	1944-E	Rural Rental Housing Loan Policies, Procedures and Authorizations	RHS	Program Staff
	1944-N	Housing Preservation Grants	RHS	Program Staff
1948		Rural Development (General)	RBS/RUS	Program Staff
1950		Account Servicing (General)	RHS	Program Staff
1951		Servicing and Collections (General)	RBS/RUS, RHS, ADMIN	Program Staff
	1951-A	Account Servicing Policies	RHS	Program Staff
	1951-B	Collections	RBS/RUS, RHS, ADMIN	Program Staff
	1951-B-2,-3,-4, etc	Collections, (Month), (Year)	RBS/RUS, RHS, ADMIN	Program Staff
	1951-C	Offsets of Federal Payments to USDA Agency Borrowers	RHS	Program Staff
	1951-E	Servicing of Community & Insured Business Program Loans and Grants	RBS/RUS, RHS	Program Staff
	1951-F	Analyzing Credit Needs and Graduation of Borrowers	RBS/RUS, RHS	Program Staff
1955		Property Management (General)	ADMIN, RHS	Program Staff
	1955-C-1,2,3,etc.	Form RD 1955-42, "Open Real Property Master Listing Agreement"	ADMIN	Program Staff
1956		Debt Settlement (General)	RBS/RUS, RHS	Program Staff
1962		Personal Property (General)	RBS/RUS, RHS	Program Staff

<b>PRIMARY FILE CODE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION (SECTION)</b>	<b>RESPONSIBLE PERSON(S)</b>
1965		Security Servicing - Real Property (General)	RHS	Program Staff
1980		Guaranteed Loans (General)	RHS	Program Staff
	1980-D-1,-2,- 3,etc.	Certified/Approved Lender (Name of Lender)	RHS	Program Staff
1992		Reports (General)	RHS	Program Staff
	1992-E	Reporting to Internal Revenue Service	RHS	Program Staff
2000		Administration (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2000-01	Emergency Planning	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2000-E	RD Policy on Meetings	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2000-G	Notaries Public Expense Act of 1955	ADMIN	Program Staff
2003		Organization (General)	ADMIN	Program Staff
2006		Management (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2006-F	Delegation of Authority	ADMIN	Program Staff
	2006-G	Designation of Acting Officials	ADMIN	Program Staff
	2006-I	Strategic Planning and Accountability	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2006-M	Management Control System	RBS/RUS, RHS, CD, ADMIN	Program Staff
<b>PRIMARY</b>	<b>SUBTITLE FILE</b>	<b>TITLES</b>	<b>FILE</b>	<b>RESPONSIBLE</b>

<b>FILE CODE</b>	<b>CODE</b>		<b>STATION (SECTION)</b>	<b>PERSON(S)</b>
	2006-U	Information Resources Management: Office Automation and End User Computing	ADMIN	IRM
2009		Budgets – (General)	ADMIN	Program Staff
2012		Audits and Investigations (General)	ADMIN	MCO/MPA
2015		Information (General)	ADMIN	PIC
	2015-B	Public Information Functions of RD Employees	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2015-E	Availability of Information Under the Privacy Act	ADMIN	MCO/MPA
2018		General (Administrative Services)	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2018-E	Security of Valuable Documents	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2018-F	Availability of Information	ADMIN	MCO/MPA
2021		Space (General)	ADMIN	Program Staff
	2021-A	Location (city or town) of office	ADMIN	Program Staff
2024		Property and Supply (General)	ADMIN, RHS	Program Staff
	2024-A	Acquisition, Sales, and Leasing Authority	ADMIN, RHS	Program Staff
	2024-A-1	Master List of Solicitations, Purchase Orders and NFC Reports	ADMIN	Program Staff
	2024-A-2,3,4, etc.	Form RD 838-B "Invoice-Receipt Certification"	ADMIN	Program Staff

<b>PRIMARY FILE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION</b>	<b>RESPONSIBLE PERSON(S)</b>
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<b>CODE</b>			<b>(SECTION)</b>	
	2024-C	Request and Control of Forms, Supplies, and Miscellaneous Services by State, Area, and Local Offices	ADMIN	Program Staff
	2024-H	Custody, Control, Utilization, and Disposal of Nonexpendable Personal Property	ADMIN	Program Staff
2027		Reproduction (General)	ADMIN	Program Staff
2030		Communications (General)	ADMIN	Program Staff
2033		Records (General)	ADMIN	Program Staff
	2033-A-1	Receipts for Valuable Documents	ADMIN	Program Staff
2036		Travel (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2036-A-1,2,3,etc.	Name of Traveler, Travel Vouchers	RBS/RUS, RHS, CD, ADMIN	Program Staff
2039		Change of Official Station (General)	ADMIN	Program Staff
2042		Tort Claims (General)	ADMIN	Program Staff
2045		Personnel Management Programs, Services, and Activities (General)	ADMIN	Program Staff
	2045-X	Equal Employment Opportunity (EEO)	ADMIN	Program Staff
2048		Position Classification (General)	ADMIN	Program Staff
2051		Hours and Pay (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
<b>PRIMARY FILE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION</b>	<b>RESPONSIBLE PERSON(S)</b>

<b>CODE</b>			<b>(SECTION)</b>	
	2051-G-1,2,3,etc.	Name of Employee, Time & Attendance Reports	RBS/RUS, RHS, CD, ADMIN	Program Staff
2054		Employment (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
	2054-1,2,3,etc.	Name of Regular Employee, Employment	ADMIN	Program Staff
2057		Training (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
2060		Performance Ratings (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
2063		Employee Relations and Services (General)	ADMIN	Program Staff
2066		Leave (General)	RBS/RUS, RHS, CD, ADMIN	Program Staff
2069		Safety and Injury Compensation (General)	ADMIN	Program Staff
2075		Voucher and Payroll Accounting (General)	ADMIN	Program Staff
3550		Rural Housing Service (General)	RHS	Program Staff
	3550-01	Introduction to the Field Office Handbook	RHS	Program Staff
	3550-02	Overview of Section 502	RHS	Program Staff
	3550-03	Application Processing	RHS	Program Staff
	3550-04	Borrower Eligibility	RHS	Program Staff
	3550-05	Property Requirements	RHS	Program Staff
	3550-06	Underwriting the Loan	RHS	Program Staff
	3550-07	Escrow, Taxes, and Insurance	RHS	Program Staff
<b>PRIMARY FILE</b>	<b>SUBTITLE FILE CODE</b>	<b>TITLES</b>	<b>FILE STATION</b>	<b>RESPONSIBLE PERSON(S)</b>

<b>CODE</b>			<b>(SECTION)</b>	
	3550-08	Loan Approval and Closing	RHS	Program Staff
	3550-09	Special Situations	RHS	Program Staff
	3550-10	Leveraged Loans	RHS	Program Staff
	3550-11	Non Program Loans	RHS	Program Staff
	3550-12	Section 504 Loans and Grants	RHS	Program Staff
	3550-13	Servicing and Liquidation Functions	RHS	Program Staff
	3550-14	Refinancing with Private Credit	RHS	Program Staff
	3550-15	Managing Custodial & Real Estate Owned Property	RHS	Program Staff
	3550-16	Disposing of Real Estate Owned Property	RHS	Program Staff
3565		Guaranteed Rural Rental Housing (General)	RHS	Program Staff
	3565-1,2,3, etc.	RRH Approved Lender (Name of Lender)	RHS	Program Staff
3570		Community Programs (General)	RHS	Program Staff
	3570-B	Community Facilities Grant Program	RHS	Program Staff
3575		Community Programs Guaranteed Loans (General)	RHS	Program Staff
	3575-A	Community Programs Guaranteed Loans	RHS	Program Staff
4200		Rural Business Service (General)	RBS/RUS	Program Staff
4274		Direct and Insured Loan Making (General)	RBS/RUS	Program Staff
4279		Guaranteed Loan Making (General)	RBS/RUS	Program Staff
	4279-B	Business and Industry Loans	RBS/RUS	Program Staff
4284		Grants (General)	RBS/RUS	Program Staff
4287		Servicing (General)	RBS/RUS	Program Staff

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**FIELD OFFICE CONTRACT FILE ORGANIZER**

POSITION 1:

The Contract

AD-838, Purchase Order

SF-18, Request for Quotations and successful offerors entire solicitation package

Statement of Work

Modifications and Justifications

Notice to Proceed (If used for construction contracts.)

**CONTRACT MODIFICATION SUMMARY:** Original, signed modifications should be on top of the contract original.

MOD NO.	PURPOSE	DATE	AMOUNT + or (-)

**THIS IS A FOUR-PART CONTRACT FILE ORGANIZER. USE THESE SHEETS AS THE COVER FOR EACH PART IN THE FILE FOLDER. THE LISTS OF FILING REQUIREMENTS SHOWN HEREIN ARE NOT INTENDED TO BE ALL INCLUSIVE, BUT ARE MERELY SHOWN AND GROUPED TO PROMOTE BETTER FILE ORGANIZATION.**

**FIELD OFFICE CONTRACT FILE ORGANIZER**

POSITION 2:

Contracting Officer Representative (COR) Designations

Pre-Work Conference and/or Preconstruction Notes

Davis Bacon Compliance Reports (WH-347)

Cure Notice – Show Cause – Termination

Miscellaneous Post-Award Correspondence

CORRESPONDENCE ON ANY OF THE ABOVE SUBJECT MATTERS THAT RESULTS IN A CONTRACT MODIFICATION SHOULD BE FILED UNDER A COPY OF THE MODIFICATION IN POSITION 1.

**FIELD OFFICE CONTRACT FILE ORGANIZER**

POSITION 3:

Contract Payments

RD 838-B, Invoice-Receipt Certification

Contractors' Numbered Invoice

Record of Payment Activity

CORRESPONDENCE ON ANY OF THE ABOVE SUBJECT MATTERS THAT RESULTS IN A CONTRACT MODIFICATION SHOULD BE FILED UNDER A COPY OF THE MODIFICATION IN POSITION 1.

**FIELD OFFICE CONTRACT FILE ORGANIZER**

POSITION 4:

Notice to Unsuccessful Offerors

Request for Contract Services (Form RD 1955-62)

Source List